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<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		ATTORNEY'S DOCKET NUMBER 1130-PCT-US
INTERNATIONAL APPLICATION NO. PCT/IT04/000227		U.S. APPLICATION NO. (If known, see 37 CFR 1.5) Not Yet Known <b>40/554181</b>
INTERNATIONAL FILING DATE April 21, 2004		PRIORITY DATE CLAIMED April 24, 2003
TITLE OF INVENTION LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-DIRECTIONAL PROMOTERS AND USES THEREOF		
APPLICANT(S) FOR DO/EO/US NALDINI, et al		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input checked="" type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))               <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).               <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))               <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol>		
Items 11 to 20 below concern document(s) or information included:		
<ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input checked="" type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input checked="" type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> </ol>		

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20. Other items or information:  PCT Notification Concerning Submission or Transmittal or Priority Document (PCT/IB/304)					
The following fees have been submitted				CALCULATIONS PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a))..... \$300				\$ 300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$ 200.00	
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
All other situations..... \$200					
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b))				\$ 400.00	
If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0					
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100					
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB..... \$400					
All other situations..... \$500					
TOTAL OF 21, 22 and 23 =				900.00	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
40 - 100 =	/50 =		x \$250	\$	
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	18 - 20 =	0	x \$ 50	\$ 0	
Independent claims	1 - 3 =	0	x \$200	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	\$	
TOTAL OF ABOVE CALCULATIONS =				\$ 900.00	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
SUBTOTAL =				\$ 450.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
TOTAL NATIONAL FEE =				\$ 450.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
TOTAL FEES ENCLOSED =				\$ 450.00	
				Amount to be refunded:	\$
				Amount to be charged	\$

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- a. ☒ A check in the amount of \$ 450.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-1891. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Albert Wai-Kit Chan  
Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20th Avenue  
Whitestone, New York 11357  
Tel : 718-799-1000  
Fax: 718-357-8615

Albert Wai Kit Chan

SIGNATURE

Albert Wai-Kit Chan

NAME

36,479

REGISTRATION NUMBER

10/554181

Dkt. #1130-PCT-US

JC09 Rec'd PCT/PTO 21 OCT 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : NALDINI, et al.

U.S. Serial No. : Not Yet Known, corresponding to  
International Application No.  
PCT/IT04/000227, filed April 21, 2004,  
claiming the benefit of U.S. Serial No.  
60/465,080, filed April 24, 2003

Filed : Herewith

For : LENTIVIRAL VECTORS CARRYING SYNTHETIC BI-  
DIRECTIONAL PROMOTERS AND USES THEREOF

Law Offices of Albert Wai-Kit Chan, LLC  
World Plaza, Suite 604  
141-07 20<sup>th</sup> Avenue  
Whitestone, NY 11357

October 21, 2005

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Mail Stop Patent Application

Sir:

**EXPRESS MAIL CERTIFICATE OF MAILING**  
**IN CONNECTION WITH THE ABOVE-IDENTIFIED APPLICATION**

"Express Mail" mailing label number: EV 219816198 US

Date of Deposit: October 21, 2005

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, Mail Stop Patent Application.

Albert Wai Kit Chan

Printed Name: Albert Wai-Kit Chan

Respectfully submitted,

Albert Wai Kit Chan

Albert Wai-Kit Chan

Registration No. 36,479

Attorney for Applicant(s)

Law Offices of

Albert Wai-Kit Chan, LLC

World Plaza, Suite 604

141-07 20<sup>th</sup> Avenue

Whitestone, New York 11357

Tel: (718) 799-1000

Fax: (718) 357-8615

E-mail: chank@kitchanlaw.com

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Whitestone, NY 11357

October 21, 2005

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450  
Mail Stop Patent Application

**COMMUNICATION TO FURNISH NUCLEOTIDE AND/OR AMINO ACID SEQUENCE  
LISTING COMPLYING WITH STANDARD**

Applicants hereby submit this Communication to Furnish Nucleotide and/or Amino Acid Sequence Listing Complying with Standard in connection with the above-identified application.

Applicants hereby attach a copy of the Sequence Listing in computer-readable form as required by 37 C.F.R. 1.821 (e) and the Statement to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures (**Exhibit 1** and a floppy disk).

Applicants hereby declare in the attached Statement to Comply With Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures that the information recorded in computer readable form is identical to the written sequence listing (**Exhibit 2**).

Applicant(s) : NALDINI, et al.  
U.S. Serial No.: Not Yet Known  
Filed : Herewith  
Page : 2

The attached sequence listing (Exhibit 1 and floppy disk) were created with PatentIn Version 3.2. Applicants believe that the application is in compliance with sequence listing requirements.

If a telephone interview would be of assistance in advancing the prosecution of the subject application, Applicants' undersigned attorney invites the Examiner to telephone him at the number provided below.

No fee is deemed necessary in connection with the filing of this Communication. However, if any fee is required, authorization is hereby given to charge the amount of any such fee to Deposit Account No. 50-1891. Conversely, authorization is also hereby given to credit the amount of any overpayment to Deposit Account No. 50-1891.

Respectfully submitted,

Albert Wai Kit Chan

Albert Wai-Kit Chan

Registration No. 36,479

Attorney for Applicant(s)

Law Offices of

Albert Wai-Kit Chan, LLC

World Plaza, Suite 604

141-07 20<sup>th</sup> Avenue

Whitestone, NY 11357

Tel: (718) 799-1000

Fax: (718) 357-8615

E-mail: chank@kitchanlaw.com